

**OLIFF & BERRIDGE, PLC**

ATTORNEYS AT LAW

77 SOUTH WASHINGTON STREET  
ALEXANDRIA, VIRGINIA 22314

TELEPHONE: (703) 836-6400

FACSIMILE: (703) 836-2787

E-MAIL: OGB@OLIFF.COM

WWW.OLIFF.COM

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**FACSIMILE TRANSMISSION COVER SHEET**

To: Examiner T. Cleary  
Group Art Unit 2181  
U.S. Patent and Trademark Office

Fax No.: 703-746-6721

From: Daniel A. Tanner, III

Your Ref.: 09/787,218

Our Ref.: 108107

Number of Pages Sent (Including cover sheet): 3

Prepared By: Aaw/dk

**Comments:**

ADDITIONAL COMMENTS ADDED AS A RESULT OF TELEPHONE CALL  
FROM EX. CLEARY, FEBRUARY 4, 2004.

Sent by: dk

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### Applicant Initiated Interview Request Form

Application No.: 09/787,218 First Named Applicant: Takuya Ishida  
 Examiner: Ex. T. Cleary Art Unit: 2181 Status of Application: Pending

**Tentative Participants:**

(1) Ex. Cleary (2) Dan Tanner (Oliff & Berridge, PLC)  
 (3) \_\_\_\_\_ (4) \_\_\_\_\_

Proposed Date of Interview: February 9, 2004 Proposed Time: 2:00 PM

**Type of Interview Requested:**

(1) ☐ Telephonic (2) ☒ Personal (3) ☐ Video Conference

Exhibit To Be Shown or Demonstrated: ☐ YES ☒ NO

If yes, provide brief description: \_\_\_\_\_

### Issues To Be Discussed

Issues (Rej., Obj., etc)	Claims/ Fig. #s	Prior Art	Discussed	Agreed	Not Agreed
(1) Rej	1, 5 and 9	6,363,428 to Chou et al.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(2) _____	_____	_____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(3) _____	_____	_____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(4) _____	_____	_____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

☐ Continuation Sheet Attached

**Brief Description of Arguments to be Presented:**

Features which distinguish the subject matter of the independent claims from the applied art, or, in the  
alternative, suggested amendments to the claims that may serve to clarify the distinguishing features.

An interview was conducted on the above-identified application on \_\_\_\_\_

**NOTE:**

This form should be completed by applicant and submitted to the examiner in advance of the interview (see MPEP § 713.01).

This application will not be delayed from issue because of applicant's failure to submit a written record of this interview. Therefore, applicant is advised to file a statement of substance of this interview (37 CFR 1.133(b)) as soon as possible.

\_\_\_\_\_  
 (Applicant/Applicant's Representative Signature)

\_\_\_\_\_  
 (Examiner/SPE Signature)

Details of Subject Matter to be Discussed in the Examiner Interview re: U.S. Patent Application No. 09/787,218 (w/ Examiner T. Cleary, Group Art Unit 2181)

1. Claims 1 and 9 - rejected under 35 U.S.C. §102(e) as anticipated by U.S. Patent No. 6,363,428 to Chou et al., in the alternative, under 35 U.S.C. §103(a) as unpatentable over Japanese Patent No. JP 10-222440 to Haneda et al.
  - In neither Chou nor Haneda are the data areas divided into first and second data areas.
  - Chou and Haneda teach a two-level storage scheme rather than separating packetized data into three separate components for individual storage.
    - Chou mixes reference to "packet header data" and "protocol data" but this does not alter the fact that Chou discloses a two-level storage scheme.
2. Claim 5 - rejected under 35 U.S.C. §103(a) as being obvious over Chou as applied to claim 1, and further in view of U.S. Patent No. 6,115,770 to Gehman and U.S. Patent No. 6,272,114 to Kobayashi.
  - Arguments over Chou, as noted above.
  - Transaction labels to identify transactions between nodes are distinguishable between the applied art and the subject matter of claim 5.
3. Objections to Claims and Drawings
  - Review of claim and drawing amendments to obviate the objection.

#12

<b>Interview Summary</b>	Application No.	Applicant(s)	
	09/787,218	ISHIDA ET AL.	
	Examiner	Art Unit	
	Thomas J. Cleary	2111	

All participants (applicant, applicant's representative, PTO personnel):

(1) Thomas J. Cleary - USPTO.

(3) Daniel A. Tanner - 54,734.

(2) Mark H. Rinehart - USPTO.

(4) \_\_\_\_\_.

Date of Interview: 10 February 2004.

Type: a) ☐ Telephonic b) ☐ Video Conference  
c) ☒ Personal [copy given to: 1) ☐ applicant 2) ☒ applicant's representative]

Exhibit shown or demonstration conducted: d) ☒ Yes e) ☐ No.

If Yes, brief description: PTO 413A received via fax on 4 February 2004.

Claim(s) discussed: 1,5 and 9.

Identification of prior art discussed: US Patent Numbers 6,363,428 to Chou et al., 6,115,770 to Gehman, and 6,272,114 to Kobayashi; and Japanese Patent Number JP 10-222440 to Haneda et al.

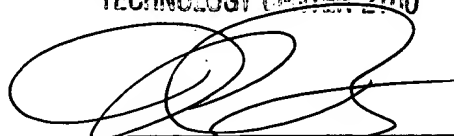
Agreement with respect to the claims f) ☒ was reached. g) ☐ was not reached. h) ☐ N/A.

Substance of Interview including description of the general nature of what was agreed to if an agreement was reached, or any other comments: Discussed Claims 1, 5, and 9 with regards to Figures 10 and 15 and operation of invention claimed. Examiner agrees that specifying type/functionality of first and second data in Claims 1 and 9 and clarifying identification information used to determine storage areas in Claim 5 would distinguish over the applied art. Applicant will consider for amendment.

(A fuller description, if necessary, and a copy of the amendments which the examiner agreed would render the claims allowable, if available, must be attached. Also, where no copy of the amendments that would render the claims allowable is available, a summary thereof must be attached.)

THE FORMAL WRITTEN REPLY TO THE LAST OFFICE ACTION MUST INCLUDE THE SUBSTANCE OF THE INTERVIEW. (See MPEP Section 713.04). If a reply to the last Office action has already been filed, APPLICANT IS GIVEN ONE MONTH FROM THIS INTERVIEW DATE, OR THE MAILING DATE OF THIS INTERVIEW SUMMARY FORM, WHICHEVER IS LATER, TO FILE A STATEMENT OF THE SUBSTANCE OF THE INTERVIEW. See Summary of Record of Interview requirements on reverse side or on attached sheet.

MARK H. RINEHART  
SUPERVISORY PATENT EXAMINER  
TECHNOLOGY CENTER 2100



Examiner Note: You must sign this form unless it is an Attachment to a signed Office action.

Examiner's signature, if required

## Summary of Record of Interview Requirements

### Manual of Patent Examining Procedure (MPEP), Section 713.04, Substance of Interview Must be Made of Record

A complete written statement as to the substance of any face-to-face, video conference, or telephone interview with regard to an application must be made of record in the application whether or not an agreement with the examiner was reached at the interview.

### Title 37 Code of Federal Regulations (CFR) § 1.133 Interviews

#### Paragraph (b)

In every instance where reconsideration is requested in view of an interview with an examiner, a complete written statement of the reasons presented at the interview as warranting favorable action must be filed by the applicant. An interview does not remove the necessity for reply to Office action as specified in §§ 1.111, 1.135. (35 U.S.C. 132)

#### 37 CFR §1.2 Business to be transacted in writing.

All business with the Patent or Trademark Office should be transacted in writing. The personal attendance of applicants or their attorneys or agents at the Patent and Trademark Office is unnecessary. The action of the Patent and Trademark Office will be based exclusively on the written record in the Office. No attention will be paid to any alleged oral promise, stipulation, or understanding in relation to which there is disagreement or doubt.

The action of the Patent and Trademark Office cannot be based exclusively on the written record in the Office if that record is itself incomplete through the failure to record the substance of interviews.

It is the responsibility of the applicant or the attorney or agent to make the substance of an interview of record in the application file, unless the examiner indicates he or she will do so. It is the examiner's responsibility to see that such a record is made and to correct material inaccuracies which bear directly on the question of patentability.

Examiners must complete an Interview Summary Form for each interview held where a matter of substance has been discussed during the interview by checking the appropriate boxes and filling in the blanks. Discussions regarding only procedural matters, directed solely to restriction requirements for which interview recordation is otherwise provided for in Section 812.01 of the Manual of Patent Examining Procedure, or pointing out typographical errors or unreadable script in Office actions or the like, are excluded from the interview recordation procedures below. Where the substance of an interview is completely recorded in an Examiner's Amendment, no separate Interview Summary Record is required.

The Interview Summary Form shall be given an appropriate Paper No., placed in the right hand portion of the file, and listed on the "Contents" section of the file wrapper. In a personal interview, a duplicate of the Form is given to the applicant (or attorney or agent) at the conclusion of the interview. In the case of a telephone or video-conference interview, the copy is mailed to the applicant's correspondence address either with or prior to the next official communication. If additional correspondence from the examiner is not likely before an allowance or if other circumstances dictate, the Form should be mailed promptly after the interview rather than with the next official communication.

The Form provides for recordation of the following information:

- Application Number (Series Code and Serial Number)
- Name of applicant
- Name of examiner
- Date of interview
- Type of interview (telephonic, video-conference, or personal)
- Name of participant(s) (applicant, attorney or agent, examiner, other PTO personnel, etc.)
- An indication whether or not an exhibit was shown or a demonstration conducted
- An identification of the specific prior art discussed
- An indication whether an agreement was reached and if so, a description of the general nature of the agreement (may be by attachment of a copy of amendments or claims agreed as being allowable). Note: Agreement as to allowability is tentative and does not restrict further action by the examiner to the contrary.
- The signature of the examiner who conducted the interview (if Form is not an attachment to a signed Office action)

It is desirable that the examiner orally remind the applicant of his or her obligation to record the substance of the interview of each case. It should be noted, however, that the Interview Summary Form will not normally be considered a complete and proper recordation of the interview unless it includes, or is supplemented by the applicant or the examiner to include, all of the applicable items required below concerning the substance of the interview.

A complete and proper recordation of the substance of any interview should include at least the following applicable items:

- 1) A brief description of the nature of any exhibit shown or any demonstration conducted,
- 2) an identification of the claims discussed,
- 3) an identification of the specific prior art discussed,
- 4) an identification of the principal proposed amendments of a substantive nature discussed, unless these are already described on the Interview Summary Form completed by the Examiner,
- 5) a brief identification of the general thrust of the principal arguments presented to the examiner,  
(The identification of arguments need not be lengthy or elaborate. A verbatim or highly detailed description of the arguments is not required. The identification of the arguments is sufficient if the general nature or thrust of the principal arguments made to the examiner can be understood in the context of the application file. Of course, the applicant may desire to emphasize and fully describe those arguments which he or she feels were or might be persuasive to the examiner.)
- 6) a general indication of any other pertinent matters discussed, and
- 7) if appropriate, the general results or outcome of the interview unless already described in the Interview Summary Form completed by the examiner.

Examiners are expected to carefully review the applicant's record of the substance of an interview. If the record is not complete and accurate, the examiner will give the applicant an extendable one month time period to correct the record.

### Examiner to Check for Accuracy

If the claims are allowable for other reasons of record, the examiner should send a letter setting forth the examiner's version of the statement attributed to him or her. If the record is complete and accurate, the examiner should place the indication, "Interview Record OK" on the paper recording the substance of the interview along with the date and the examiner's initials.